

QUANG NGAI RURAL DEVELOPMENT
PROGRAM (RUDEP) - PHASE 2

MONITORING AND EVALUATION
MANUAL FOR COMMUNE LEVEL



VIETNAM-AUSTRALIA

Prepared for

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5th July 2005

VIE1506

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CHART

Chart 1 : Indicators for RUDEP's activities implemented by the CCG

TABLE

Table 1 Frame for SWOT analyze

Acronyms

CCG	Commune Contact Group
CPC	Commune People's Committee
DDO	District Development Officer
HH	Household
M&E	Monitoring and Evaluation
MEGO	Monitoring and Evaluation Officer
PC/PA/PS	Problem Census/Problem Analysis/Problem Solving
QN	Quang Ngai
RUDEP	Quang Ngai Rural Development Program
CCG	Commune Contact Group
AG	Activity group
DB	Database

SPECIAL WORDS USED IN M&E

Continuous improvement	Using lessons learned from implementation in the past to improve the efficiency and effectiveness of implementation in the future.
Effectiveness	Doing the right thing. The quality and appropriateness of those activities implemented by the project.
Efficiency	Doing the thing right. The quantity of resources needed to support the way implementation is done to achieve given results.
Evaluation	Periodic comparison of actual change resulting from implementation against planned changes.
Goal	The ultimate change that the project aims to support. The goal of RUDEP is: contribute to rural development, governance and poverty reduction in Quang Ngai Province
Inputs	The human, financial and knowledge resources needed for implementation and the initial activities required for implementation. For example PMU staff, annual planning and Village Planning meetings.
Logframe	Logical framework. A simple matrix of described activities, M&E indicators, means of verification and assumptions that links inputs, outputs, outcomes, purpose and goal of a project.
M&E	Monitoring and evaluation. The combined activities that record progress and assess performance against agreed indicators.
Monitoring	Regular measurement and recording of activities and change resulting from implementation. For example recording names of participants, time and place for meetings or workshops.
Outcomes	The long-term changes resulting from project implementation. For example increased household incomes, improved livelihoods & sustainability and empowerment of participants.
Outputs	The immediate changes resulting from project implementation. For example demonstrations and infrastructure construction, adoption of technical packages and establishment of VSCFs.
Purpose	The objectives of a project. The purpose of RUDEP is to empower poor households in selected communes in Quang Ngai Province to improve livelihoods sustainably through increased incomes within the risk framework of poor people
Qualitative	Data that cannot be measured with numbers such as photographs, minutes of meetings and outputs from PRA activities.
Quantitative	Data that can be measured with numbers and analysed mathematically such as numbers of demonstrations or numbers of infrastructure activities.

1 Introduction

The Instruction Manual of Monitoring and Evaluation is prepared for the purposes of:

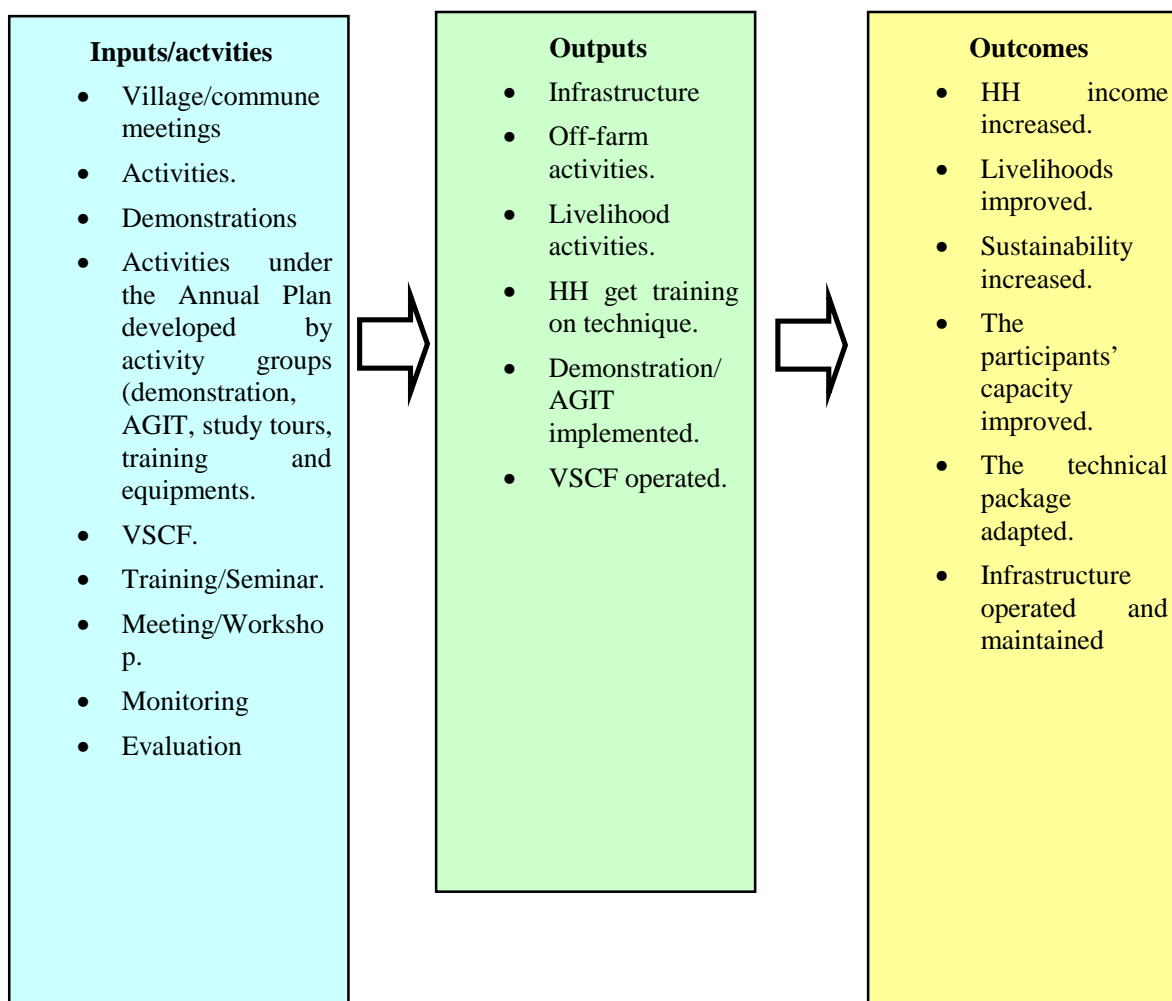
- assisting stakeholders in their monitoring and evaluation to RUDEP activities
- Contributing to capacity building for grassroots levels in their management of activities during the process of project implementation
- Guiding on the steps of collecting data and information sufficiently and systematically, this also contributes to the management and reporting to stakeholders on the implementation process.

The Instruction Manual will also introduce methods and concepts relating to the participatory monitoring and evaluation and the methods of making commune-level reports, and define the responsibilities of officials at grassroots levels when participating in project implementation.

1.1 RUDEP Indicators

The Table 1 shows the indicators for activities implemented by the CCG. Specially, it is easy to see the relationship among the inputs, outputs and outcomes.

Chart 1 : Indicators for RUDEP's activities implemented by the CCG



2 What are Monitoring and Evaluation?

2.1 Monitoring:

is to regularly examine, speed up and supervise the implementation of project activities.

This work is to ensure resources are mobilized and activities are conducted in accordance with the plan of the project; it considers the use of budget as well as the cooperation between working parties, and, from which, it will contribute to making prompt improvements of problems and weakness, support the decision makings and help the implementation of the purposes and objectives that the project.

2.2 Evaluation:

Is the work to be conducted in 6 monthly, annually, in the mid term and after the completion of the project or activity in order to identify its appropriateness, achievements, effectiveness as well as its impacts and sustainability to the communities.



2.3 Purposes of the monitoring and evaluation at commune level

Monitoring and Evaluation at Commune Level is the importances work that:

Regularly maintain the recording and updating information on project activities systematically, support the project management levels and the commune contact group to have accurate information sufficiently to analyze and give out prompt solutions for handling any arising problems.

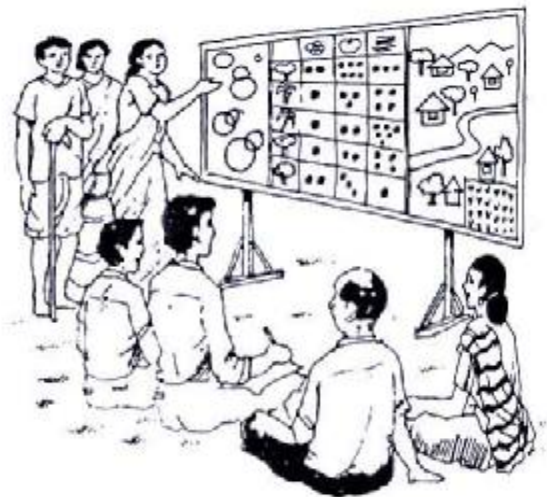
Check the appropriateness of the implementation of activities against the plan.

Monitor the implementation of activities funded by the project in an objective and scientific basis in order to evaluate the suitability and effectiveness that the project achieves in comparison with its originally expected outcomes.

Summarize the practical lessons learned about the value, effectiveness and the appropriateness of activities for the implementation in the future.

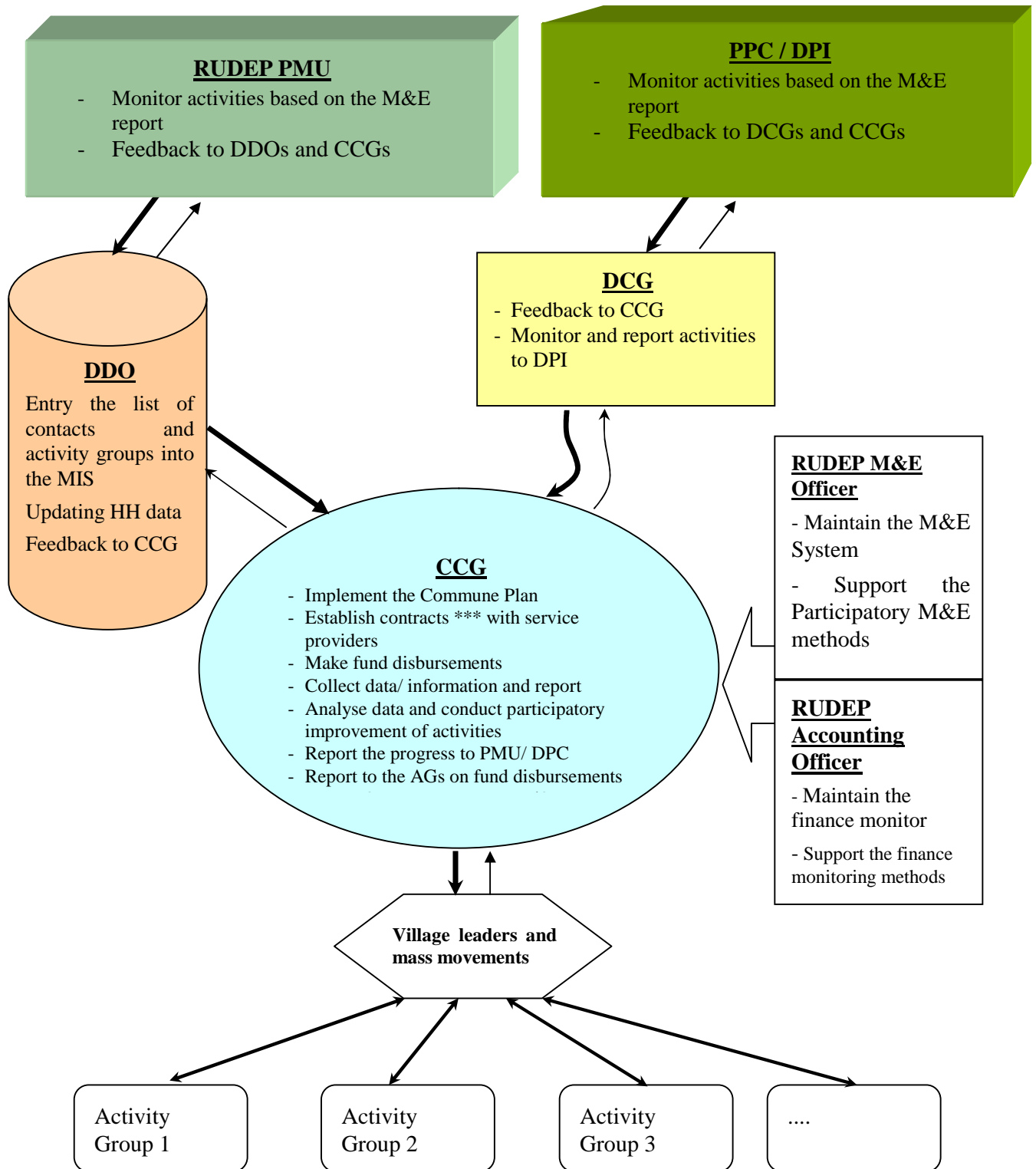
Improve the households' capacity of supervision and examination to the ongoing activities in their location.

In addition, the Monitoring and Evaluation at Commune level will contribute to:



- The report and explanation of RUDEP activities to the PMU, PPC and the Donor (AusAID)
- Report of RUDEP activities to the DCG
- Provide clear explanation of RUDEP activities to activity groups

3 Commune-level Monitoring and Evaluation System

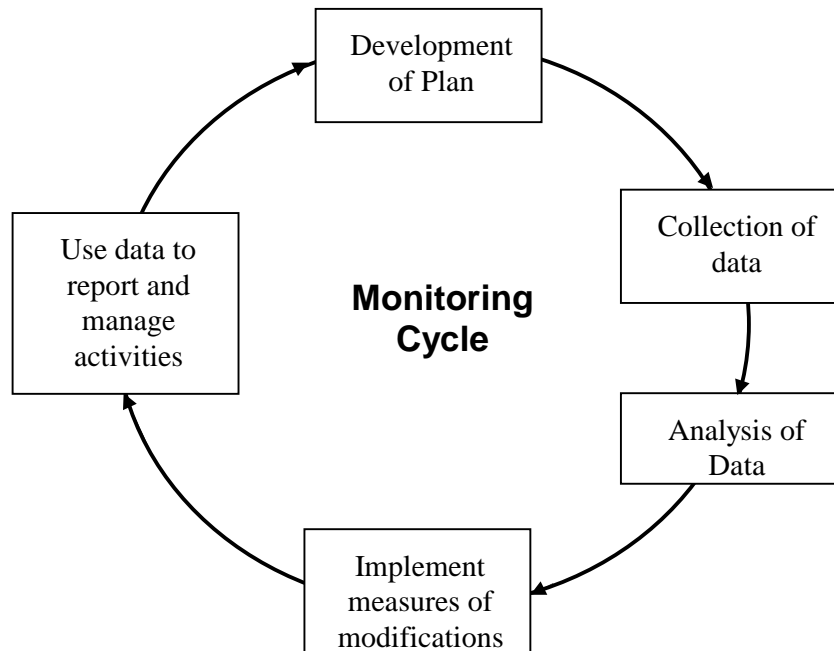


Notes

- Monitor and feedback information:
- Report:
- Support:
- Receive information and feedback:

4 Commune-level Monitoring System

4.1 Monitoring system



✓ Prepare plan including:

- Commune Annual Plan.
- Detail activity plan including:
 - Cost estimate
 - Material and human resources.
 - Implementation period.
 - Beneficiaries.
 - Productivity and effectiveness

✓ Collect data in order to:

- Keep track the RUDEP activity implementation.
- Make right and timely decision supporting the project implementation in an effective manner.

✓ Analyze data to:

- Analyze fact of implementation in comparisons with the commune annual plan, detail activity plans.
- Identify the divergencies comparing to the plan.
- Analyze the decedent level: more or less, good or bad.
- Clarify the causes.

✓ **Implement adjustments**

- Review the plan, work out additional or alternative solutions
- Adjust the activities' goals appropriate with new scenery (if necessary).
- Enlarge or narrow each activity's scale.

✓ **Use data to**

- Manage activities implemented in commune.
- Report monthly, quarterly and annual to project managing agencies.

4.2 Reporting forms for data collection

F Reporting form for field monitoring (Form FD - 01)

(See Annex 1)

✓ **Purpose of recording:**

When the activity is started of implementation by the service provider, this form is used to record issues related to that activity to follow up the progress of the activity implementation (for example, outstanding issues, recommendations of solutions, etc). This is the base for related parties to discuss for solutions of prompt improvements in order to ensure the activity to be implemented correctly to the given objectives and schedule.

✓ **Duties:** The activity group leader is responsible for regularly recording issues related to his/ her group and reporting to the village leader

✓ **Responsibilities:**

- The CCG compiles all field reports from activity groups via village leaders.
- Conducts monthly discussions about the progress of activities going on in the commune and related issues.

✓ **Reporting time:**

- One the 17th of each month, the Activity Group leaders send field reports to the village leader
- On the 20th of each month, the village leader sends all field reports collected from activity group leaders to the CCG.

F The Contact Sheet (Form PMU - 01)

(See Annex 1)

✓ **Purpose of recording:**

This form is used to record information in relation to training, meeting, study tour, and workshop events, etc. This form includes information about the venue/ site of the event, date, budget of the event and names of participants.

✓ **Duties:** The Service Provider (for example, the district animal health station, extension centre, etc.) is to record all required information into this form during the process of implementing activities.

✓ **Responsibilities:** The CCG collects all contact sheets and check the data recorded in the contact sheets, then send to the DDO to entry into the database placed at the district.

✓ **Time of collection:** At the training, meeting, study tour or workshop events.

✓ Time of reporting:

- Within two days after the implementation of each event as the latest, the service provider must send this sheet to the CCG.
- On the 19th of each month, the CCG sends the collected sheets for the DDO to entry information into the database placed at the district.

F Activity Group Form (Form PMU - 02)

(See Annex 1)

✓ Purpose of recording:

Information related to the activity group (Livelihoods AG, Infrastructure AG, Income Generation AG, VSCF group) includes location, name of the group, type of the group, budget, financial year, fund resources, name of participants and activity group plan, etc. will be recorded into this Form.

✓ Duties: The CCG uses this form to record activity group information

✓ Responsibilities: The CCG verifies whether the information recorded in the form are sufficient and true before sending them to the DDO

✓ Time of collection: At the formation of the activity group.

✓ Time of reporting: On the 19th of each month, the CCG send these forms for the DDO to make data entry.

F Household Form (Form PMU - 03)

(See annex 1)

✓ Purpose of recording:

When the activity group is formed, we use this sheet to record information of households participating in the activity group or update information of households who joined the group in the previous year and now are still in the group. This form is used for households participating in the activity group only; and when recording/ updating household information, we use one form for each household (i.e., 30 forms for the activity group of 30 participants).

✓ Duties: Households participating in RUDEP activity groups are to record their household information.

✓ Responsibilities:

- At the formation of the activity group, the CCG (person who is responsible for the formation of the activity group) advise the participating households on how to record information into this form.
- The CCG then verifies whether the information recorded in the form are sufficient and true before sending them to the DDO.

✓ Time of collection of information: At the formation of the activity group

✓ Time of reporting: On the 19th of each month, the CCG sends these forms in conjunction with the Form PMU - 02 for the DDO to entry into the database.

F Form of Summary Report (Form CCG - 01)

(See Annex 1)

✓ Method of updating:

Every month, based on the data collected by the village leaders or CCG soft members¹, the CCG will aggregate all these data into the appropriate columns of the Summary Report Form in the computer, then print out and sent to stakeholders.

✓ Duties: Village leaders collect data related to the columns of the Summary Report Form and send to the CCG leader

✓ Responsibilities:

- The CCG leader assigns one staff who can use Microsoft Excel to summary all reports sent by village leaders into the computer.
- The CCG leader verifies the updated data and
- Prints out 3 copies and send each (1) to DPI by Post or via Mr. Phuoc or Mr. Huy, (2) to the DDO, and (3) to the DCG leader.

✓ Time of reporting: On the 25th of each month.

F Monthly Report Form for Component 1 (Form CCG - 02) this is similar to **Form CCG - 01** (see Annex 1)

F Monthly Report Form for Component 2 and 3 (Form CCG - 03)

(see Annex 1)

✓ Method of updating: Every month, the CCG will aggregate all these data relate with component 2 and component 3 into the appropriate columns of the Monthly Report Form in the computer.

✓ Duties: The CCG is to monitor events related to Component 2 and Component 3 on monthly basis.

✓ Responsibility:

- The CCG leader assigns one staff who can use Microsoft Excel to summary all monitoring reports made by CCG members into the computer.
- The CCG leader verifies the updated data and
- Prints out 3 copies and send each (1) to DPI by Post or via Mr. Phuoc or Mr. Huy, (2) to the DDO, and (3) to the DCG leader.

✓ Time of reporting: On the 25th of each month

4.3 How the data are used?

Data collected will be useful for the Contact Groups in their management of RUDEP activities being implemented in the commune such as:

- Inputs for the implementation of activities
- Number of activities

¹ means, part-time members who are representatives of commune mass movements join in the CCG

- Time of implementation
- Budgets which are allocated
- Number of beneficiaries
- Giving prompt solutions for modifications to make activities be in line with the purposes/ objectives of the project.
- The appropriateness and the effectiveness of each activities

In addition, these data can be used for the followings:

- for the monthly meetings of the PMU
- for the quarterly meeting at DPI
- for 6 monthly reports to the donor and the GOV project implementation agencies.
- for 6 annual reports to the donor and the GOV project implementation agencies

4.4 Feedback

- The CCG regularly feedbacks information to the activity groups when receiving any information from the village leaders, and give directions for prompt solutions for various levels.
- Each month, the CCG organizes at least one meeting with village leaders and CCG soft members to review the progress of the activities, especially paying attention to what have been achieved and what have not been achieved in comparison to the commune annual plan.
- Every month, the DDO provides the summary on information of activities to the CCG including the locations, number of activities, budgets, time of implementation, number of participants, and percentage of poor households in each group. These information will help the CCG to manage the activities being implemented in the commune.

In addition, the CCG and the DCG will receive information directly through the quarterly meeting hold at the DPI. This will be opportunities for the parties to discuss on solutions for any obstacles during the process of implementation.

4.5 Responsibilities of the involved parties

Responsibilities of the CCG:

- Collect all data on households participating in activity groups
- Collect all data on activity groups
- Collect the Lists of Contacts
- Provide monthly reports to the DCG and PMU on the progress of the implementation of activities in the commune using monthly reporting form provided by RUDEP.

Responsibilities of the DDO:

- Support the commune to conduct the work of data collection, check whether the collected data are correct.

- Ensure that monthly reports made by the CCG are to be updated and sent to the PMU.
- Enter data collected by the CCG regarding activity groups, households and list of contacts into the district database on monthly basis.

4.6 How to report?

✚ Reporting tools: The CCG will use two Excel-formatted report forms: (i) **Summary Report** and (ii) **Monthly Report**. These reports are structured according to 4 components of RUDEP (Income Generation, Livelihoods, Capacity Building and Infrastructure).

✚ Reporting frequency: On the 25th of each month, the CCG must complete the items in the two reports which are related to activities being implemented in their commune.

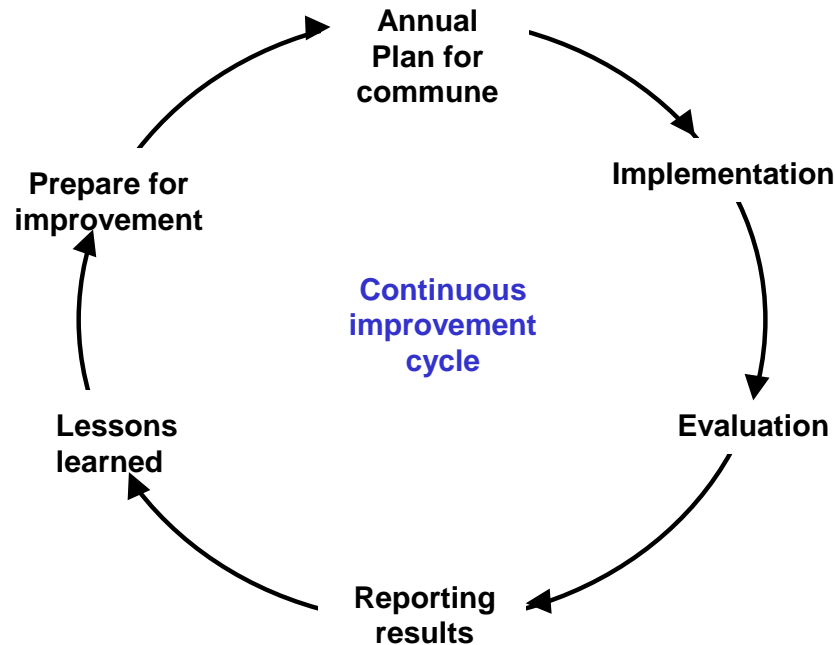
✚ To whom the reports are sent?

After updating all related information into the computer, the CCG will print out 3 copies; (i) one is sent to the DDO, he/ she then will be responsible for forwarding this report to the PMU, (ii), one is sent to the DCG leader, and (iii) one is to DPI by post or via Mr. Phuoc and Mr. Huy.

Besides, the CCG and the DCG can use this report form to report directly to the PMU via the quarterly meetings.

5 Commune Evaluation Cycle

5.1 Cycle



5.2 Evaluating methods/Tools

F SWOT methods

✓ Purpose:

To identify strengths, weaknesses, opportunities and threats related to an activity or community, and then to consider the change of this community or the activity's impacts by the time. It is useful for qualitative evaluation.

For example, use the SWOT to select activities funded by RUDEP (select infrastructure, income generation activities or livelihood activities).

✓ Logistics:

Prepare an A0 paper like below Table 1.

Colourful cards, A0 paper, stick paper, paper marker.

Select randomly a activity group.

✓ Steps:

Facilitators make the introduction of purpose.

Get ideas from participants about: strengths, weaknesses, opportunities and threats. IN this step, facilitator let participants free to raise their idea and help themselves write all to colourful cards.

Help participants organise these cards into 4 parts: strengths, weaknesses, opportunities and threats from SWOT (*see table 1*)

Draw the action checklist

✓ Tips:

Help women and illiterate people raise their ideas and help writing into colourful cards.

Table 1 Frame for SWOT analyze

Strength - - -	Weakness - - -
Opportunities - - -	Threats - - -
Action checklist - - - -	

✓ When SWOT is used?

We use SWOT to:

Understand events occur within activity group or look for solutions of problems.

Analyze activities prior to implementation.

Select small-scale infrastructure.

✓ Who will do?

The CCG.

Members of CCG with support from CCG.

F Focus group discussion**✓ Purpose:**

This is used to collect information, make clear sub-parts or collect ideas on an issue from selected small group that represent for different opinions. This method also used to reach a agreement. In M&E, focus groups are useful to consider the changes, evaluate the quality of service providers, point out areas needed to improve future activities.

✓ Logistics:

Colourful cards, A0 paper, stick paper, paper marker.

Select randomly a activity group.

✓ Steps:

Introduce the purpose to participants.

Break participants into small groups with 4-8 people, ensure the participation of women.

Ask each small group nominate one secretary to record all members' ideas into A0 paper. The group leader will be come the facilitator for discussion.

Ask members sit down in a circle to make sure they see each other, avoid some people sit in the front, others sit in back.

Set up the discussion under a topic with opening questions (e.g: what do you think about the method to clear and clean style area prior to start business?).

Inform the duration for discussion is maximum 2 hours.

During discussion, the facilitator encourage all voices from members.

Once the discussion completed, group leaders present their results in front of activity group. During the presentation, members from small groups can raise more their comments.

✓ When this method is used?

It is used for:

Evaluate the impacts from an activity.

Evaluate after 6 month or 1 year of VSCF operation.

✓ Who will do?

CCG.

Activity group itself.

Annex1

Monitoring and report tools

Report on field monitoring

Form: FD - 01

Name of activity

District name

Commune name

Date

Reporter

Place of field

Peoples met

Strengths/
Problems observed

Suggest

Evaluation on process of implementing

Good

Good, but have some obstacle/ problems

Need care

Problems / obstacle in process of implementing *(If have)*.

Form: PMU - 03

Household form

District name:.....
 Commune name:.....
 Village name:.....
 Hamlet name:.....
 Household leader name:.....
 Date:...../...../.....

Total migrator for work (person / year):..... Household using institutional credit? 1
 Total time for migration for work (day/ year):. Household participating in RUDEP VSCF? 1
 Household income (VND/ year):..... HH repay overdue loan to institutional credit? 1
 Household in DOLISA “Poor” list 1 Household adopting demonstrated technical packages of RUDEP? 1
 Total of members in HH:.....

Name of members HHs	Sex

Form of summary report

Form: CCG - 01

SUMMARY REPORT											
District name		Xã Sơn		Commune name		Xã Phong		Month/Year		06/2005	
Date of report											
No.	Components and Activities	Total of A.G.V.A.C.T	Type of A.C	Implementation Location (Hamlet and Village)	Actual date		Activities (Ongoing/Completed)		Year budget		Issues
					Start	End	Planned	Actual	Planned	Actual	
1	2	3	4	5	6	7	8	9	10	11	12
INCOME GENERATION											
1.1	Donor				15/08/2005	06/08/2005	1	2	VND 665.22	VND 22.658	
1.2	...				15/08/2005	15/08/2005			VND 159.000	VND 22.654	
1.3	Study tour				15/08/2005	30/09/2005	2	2	VND 1.550.000	VND 2.150.000	
1.4	Equipment										
1.5	Training				15/08/2005	10/09/2005					
Sub total									VND 3.674.867.00	VND 2.205.882.00	
LEVELHOOD											
2.1	Contract				15/08/2005	05/09/2005	1	1	VND 179.000	VND 11.210	
2.2	Training						2	2	VND 52.106.000	VND 5.816	
2.3	Business				05/06/2005	06/05/2005	4	4	VND 2.244.000	VND 12.958	
2.4	Equipment								VND 18.000	VND 10.000	
2.5	Market training						1	1	VND 22.400	VND 5.216	
2.6	Boat						4	4	VND 159.000	VND 5.814	
Sub total									VND 25,090,650.00	VND 340,190.00	
CAPACITY BUILDING											
3.1	Workshop						4	4			
3.2	Training course						4	4			
3.3	Meeting						4	4			
3.4	...						4	4			

Monthly Report Form for Component 2 and Component 3

Form: CCG - 02

Microsoft Excel - Monthly report_En.xls

MONTHLY REPORT C2 - C3

District name: MRE, Commune name: Trok, Month/year: Jan/11, Date of report: 1/20/11

CAPACITY BUILDING (CBC Gen only)

No.	Study tour		Workshop		Meeting		Training		Others		Total of people	Total of persons	Notes
	Nb of event	Nb of persons	Nb of event	Nb of persons	Nb of event	Nb of persons	Nb of event	Nb of persons	Nb of event	Nb of persons			
Planned	1	3	1	2	1	2	1	2	1	2	5	10	
Actual	1	3	1	2	1	2	1	2	1	2	5	10	

INFRASTRUCTURE

No.	Projects	Implementing location (Name and Village)	Use/Category			Date				Budget		Notes
			Male	Female	Mb	Approved	UBC available & approve	Contract signed	Final negotiation	MLA	MBU	
1	1	1				Planned	2/10/2011	2/10/2011	2/10/2011	YAC 25000000	YAC 25000000	
						Actual	2/10/2011			YAC 1000000	YAC 1000000	
2	2	2				Planned	2/10/2011			YAC 25000000	YAC 25000000	
						Actual				YAC 1000000	YAC 1000000	
3	3	3				Planned	2/10/2011			YAC 25000000	YAC 25000000	
						Actual				YAC 1000000	YAC 1000000	
4	4	4				Planned	2/10/2011			YAC 25000000	YAC 25000000	
						Actual				YAC 1000000	YAC 1000000	
5	5	5				Planned	2/10/2011			YAC 25000000	YAC 25000000	
						Actual				YAC 1000000	YAC 1000000	
6	6	6				Planned	2/10/2011			YAC 25000000	YAC 25000000	
						Actual				YAC 1000000	YAC 1000000	
7	7	7				Planned	2/10/2011			YAC 25000000	YAC 25000000	
						Actual				YAC 1000000	YAC 1000000	